

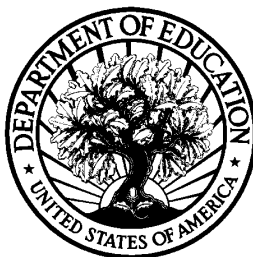
## Archived Information

**U.S. Department of Education  
Office of Elementary and Secondary Education  
School Support and Technology Programs  
Washington, DC 20202-6400**

**FY 2005  
APPLICATION FOR GRANTS FOR  
EQUITY ASSISTANCE CENTERS  
UNDER CIVIL RIGHTS  
TRAINING AND ADVISORY SERVICES**

**CFDA NUMBER: 84.004D**

**FORM APPROVED  
OMB No. 1890-0009      Expiration Date: 6/30/2005**



**DATED MATERIAL – OPEN IMMEDIATELY**

**Closing Date for Application Transmittal: 04/29/2005**

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0009**. The time required to complete this information collection is estimated to average 32.5 hours per response for the Application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to:** Ms. Sandra H. Brown, School Support and Technology Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3E116, Washington, D.C. 20202-6400; (202) 260-2638; E-mail: [sandra.brown@ed.gov](mailto:sandra.brown@ed.gov)

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**Section A:**

**DEAR COLLEAGUE LETTER**

**AND**

**TECHNICAL ASSISTANCE CONTACT**

Dear Colleague:

Thank you for your interest in the Equity Assistance Center (EAC) Program. The EAC program is authorized under Title IV of the Civil Rights Act of 1964, 42 U.S.C. 2000c –2000c-2, 2000c-5 and regulations at 34 C.F.R Parts 270 and 272. Included in this application package are the instructions and forms needed to submit an application to the U. S. Department of Education.

The services provided by the EACs help to ensure educational equity for all students and help school districts address race, sex, and national origin equity issues that affect student achievement. Please take the time to thoroughly review the authorizing statute, the program regulations, and all of the application instructions.

The selection criteria used for this competition is from the Education Department General Administrative Regulations (EDGAR) general selection criteria at 34 CFR Part 75.210. Applicants may propose any project within the scope of the selection criteria published in the application notice.

The technical assistance provided by the EACs should be based on *scientifically based research*. Activities and programs should be based on theory, research, and evaluation.

In accordance with the 34 C.F.R. 75.211 of EDGAR, an applicant may request funding for a multi-year project period. In order to be considered for multi-year funding, the applicant must explain why a multi-year project is needed and provide a detailed budget for each of the years of the proposed project. If you are selected for a multi-year project, the budgets for all years of the project will be negotiated at the time of the initial award. However, funding for continuation awards will be subject to the availability of such funds and will rely heavily on project performance reports that grantees will be required to submit near the end of each budget period. You will be notified when the reports are due.

Additionally, performance indicators are developed for the EAC Program in accordance with the Government Performance and Results Act (GPRA). As part of a government-wide effort to improve the performance and accountability of all federal programs, GPRA requires the development and use of performance indicators to set goals for program performance and to measure and report program results. The performance indicators do not change the EAC program nor create any new requirements for applicants. The performance indicators highlight project outcomes that are most important to the assessment of the EAC program. A copy of the EAC performance indicators is included in this application package.

Please contact Sandra Brown at (202) 260-2638 if you should have questions about the program after reviewing the application package. We look forward to receiving your application and appreciate your efforts to promote equity and excellence for all children.

Sincerely,

Raymond Simon,  
Assistant Secretary for  
Elementary and Secondary Education

## TECHNICAL ASSISTANCE CONTACT

For technical assistance regarding the Equity Assistance Center Program, application requirements, selection criteria, or performance measures, please contact:

Sandra Brown, Program Manager

[sandra.brown@ed.gov](mailto:sandra.brown@ed.gov) (e-mail)

202-260-2638 (voice)

202-205-5870 (fax)



## **Section B:**

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4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Training and Advisory Services (Equity Assistance Center  
Program)

Notice inviting applications for new awards for Fiscal Year  
(FY) 2005.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.004D

Dates:

Applications Available: March 1, 2005.

Deadline for Transmittal of Applications: April 29, 2005.

Deadline for Intergovernmental Review: June 29, 2005.

Eligible Applicants: A public agency (other than a State  
educational agency or a school board) or a private, non-  
profit organization.

Estimated Available Funds: \$7,185,056.

Estimated Range of Awards: \$300,000 - \$900,000.

Estimated Average Size of Awards: \$718,500.

Estimated Number of Awards: 10.

Note: The Department is not bound by any estimates in this  
notice.

Project Period: Up to 36 months.

## Full Text of Announcement

### I. Funding Opportunity Description

Purpose of Program: The Training and Advisory program is authorized under Title IV of the Civil Rights Act of 1964, 42 U.S.C. 2000c-2000c-2, 2000c-5 and regulations at 34 CFR parts 270 and 272. This program awards grants through cooperative agreements to operate regional equity assistance centers to enable them to provide technical assistance and training, at the request of school boards and other responsible governmental agencies, on the preparation, adoption, and implementation of plans for the desegregation of public schools - which in this context means plans for equity (including desegregation based on race, sex, and national origin) - and in the development of effective methods of coping with special educational problems occasioned by desegregation. The Equity Assistance Centers (formerly the Desegregation Assistance Centers) assist States, districts, and public schools to provide effective instruction to all students and specifically to those students for whom disparities in achievement persist.

Program Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5, unless otherwise noted.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 84, 85, 86, 97, 98, and 99, except that 34 CFR part 75.232 does not apply to grants under 34 CFR part 272; and (b) the regulations for this program in 34 CFR parts 270 and 272.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

Note: The regulations in 34 CFR part 99 apply only to an educational agency or institution.

## II. Award Information

Type of Award: Cooperative agreement.

Estimated Available Funds: \$7,185,056.

Estimated Range of Awards: \$300,000 - \$900,000 per year.

Estimated Average Size of Awards: \$718,500.

Estimated Number of Awards: 10.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months.

## III. Eligibility Information

1. Eligible Applicants: A public agency (other than a State educational agency or a school board) or a private, non-profit organization.

2. Geographical Regions: Ten regional Equity

Assistance Centers will be established under this grant competition. The proposals will be read according to the region they represent, and one award will be made in each region, to the highest-scoring proposal from that region.

The geographic regions served by the EACs are:

Region I: Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont.

Region II: New York, New Jersey, Puerto Rico, Virgin Islands.

Region III: Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia.

Region IV: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee.

Region V: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin.

Region VI: Arkansas, Louisiana, New Mexico, Oklahoma, Texas.

Region VII: Iowa, Kansas, Missouri, Nebraska.

Region VIII: Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming.

Region IX: Arizona, California, Nevada.

Region X: Alaska, American Samoa, Guam, Hawaii, Idaho, Northern Mariana Islands, Oregon, Republic of Palau, Washington.

#### IV. Application and Submission Information

1. Address to Request Application Package: You may obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain an application via the Internet, use the following web address:

<http://www.ed.gov/fund/grant/apply/grantapps/index.html>

To obtain a copy from ED Pubs, write or call the following Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site: [www.ed.gov/pubs/edpubs.html](http://www.ed.gov/pubs/edpubs.html) or you may contact ED Pubs at its e-mail address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application package from ED Pubs, be sure to identify this competition as follows: CFDA number 84.004D.

Individuals with disabilities may obtain a copy of the application package in an alternative format (e.g.,

Braille, large print, audiotape, or computer diskette) by contacting the program contact person listed in section VII of this notice.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

Page Limit: The application narrative (Part III of the application) is where you, the applicant, address the selection criteria that the reviewers use to evaluate your application. You must limit Part III to the equivalent of no more than 75 pages using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the one page abstract; Part IV, the budget section, including the narrative budget justification; or

Part V, the assurances and certifications, the resumes, the bibliography, or the letters of support. However, you must include all of the application narrative in Part III.

Our reviewers will not read any pages of your application that--

- Exceed the page limit if you apply these standards;

or

- Exceed the equivalent of the page limit if you apply other standards.

### 3. Submission Dates and Times:

Applications Available: March 1, 2005.

Deadline for Transmittal of Applications: April 29, 2005.

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) available through the Department's e-Grants system. For information (including dates and times) about how to submit your application electronically or by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to Section IV. 6. Other Submission Requirements in this notice.

We do not consider an application that does not comply with the deadline requirements.



Deadline for Intergovernmental Review: June 29, 2005.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR Part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program must be submitted electronically, unless you qualify for an exception to this requirement in accordance with the instructions in this section.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

a. Electronic Submission of Applications.

Applications for grants under the Equity Assistance Center Program - CFDA Number 84.004D, must be submitted electronically using e-Application available through the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any

modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Any narrative sections of your application should be attached as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format.

- Your electronic application must comply with any page limit requirements described in this notice.

- Prior to submitting your electronic application, you may wish to print a copy of it for your records.

- After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

- Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

- (1) Print ED 424 from e-Application.

- (2) The applicant's Authorizing Representative must sign this form.

- (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.

- (4) Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-

Application System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the e-Application system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Department's e-Application system;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Sandra H. Brown, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3E116, FB-6, Washington, DC 20202-6400. FAX: (202) 205-5870.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the applicable following address:

By mail through the U.S. Postal Service:

U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.004D  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

or

By mail through a commercial carrier:

U.S. Department of Education  
Application Control Center - Stop 4260  
Attention: CFDA Number 84.004D  
7100 Old Landover Road  
Landover, MD 20785-1506

Regardless of which address you use, you must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or

(4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

(1) A private metered postmark, or

(2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.004D  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260



The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

(1) You must indicate on the envelope and – if not provided by the Department – in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

(2) The Application Control Center will mail a grant application receipt acknowledgment to you. If you do not receive the grant application receipt acknowledgment within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

#### V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are selection criteria from EDGAR 34 CFR part 75.210. Further information on these selection criteria is in the application package. The maximum score for all of the selection criteria is 100 points. The maximum score for each criterion is indicated in

parentheses with the criterion. The maximum number of points an application may earn based on the selection criteria is 100 points. The criteria are as follows:

(a) Significance (20 points)

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

(1) The national significance of the proposed project.

(2) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.

(3) The likelihood that the proposed project will result in system change or improvement.

(4) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.

(5) The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

(b) Quality of the Project Design (15 Points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(2) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.

(3) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.

(4) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.

(5) The extent to which the proposed project encourages parental involvement.

(c) Quality of Project Services (20 Points)

The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(1) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

(2) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards.

(3) The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of

technology, as appropriate, and the leveraging of non-project resources.

(4) The extent to which the services to be provided by the proposed project are focused on those with greatest needs.

(d) Quality of Project Personnel (10 Points)

The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(1) The qualifications, including relevant training and experience, of the project director.

(2) The qualifications, including relevant training and experience, of key project personnel.

(3) The qualifications, including relevant training and experience, of project consultants.

(e) Adequacy of Resources (5 Points)

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of

resources for the proposed project, the Secretary considers the following factors:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(2) The extent to which the budget is adequate to support the proposed project.

(3) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(f) Quality of the Management Plan (15 Points)

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(2) The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(g) Quality of the Project Evaluation (15 Points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(2) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(3) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

## VI. Award Administration Information

1. Award Notices: If your application is successful we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may also notify you informally.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements

in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as specified by the Secretary in accordance with 34 CFR 75.118.

4. Performance Measures: In response to the Government Performance and Results Act (GPRA), the Department has established two overall performance indicators for assessing the effectiveness of the Equity Assistance Centers program. We will collect the data for these indicators from the grantees using the following measures:



Performance Indicator 1: Training and technical assistance services result in the promotion of policies and practices to ensure that all children regardless of race, sex, or national origin have equal access to quality education and equitable opportunity for high-quality instruction.

Measure One: As a result of products and services provided by the Equity Assistance Centers, an increasing percentage of customers will develop, implement, or improve their policies and practices in eliminating, reducing, or preventing harassment, conflict, and school violence.

Measure Two: As a result of products and services provided by the Equity Assistance Centers, an increasing percentage of customers will develop, implement, or improve their policies and practices ensuring that students of different race, national origin, and sex have equitable opportunity for high-quality instruction.

Performance Indicator Two: Training and technical assistance services result in products and services that are deemed to be of high usefulness to education policy or practice.

Measure: An increasing percentage of customers will report that the products and services they received from the

Equity Assistance Centers are of high usefulness to their policies and practices.

We will expect all grantees to report data addressing these performance measures in the annual performance report referred to in section VI.3. of this notice.

#### VII. Agency Contact

For Further Information Contact: Sandra H. Brown, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3E116, FB-6, Washington, DC 20202-6400. Telephone: (202) 260-2638 or by e-mail: sandra.brown@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed in this section.

#### VIII. Other Information

Electronic Access to This Document: You may view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/news/fedregister/index.html>

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: [www.gpoaccess.gov/nara/index.html](http://www.gpoaccess.gov/nara/index.html)

Dated:

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Raymond Simon,  
Assistant Secretary for  
Elementary and Secondary  
Education.

## **AUTHORIZING STATUTE**

### **CIVIL RIGHTS ACT OF 1964.**

Document Number: PL 88-352

Date: 02 JUL 64

88th Congress, H. R. 7152

#### **TITLE IV--DESEGREGATION OF PUBLIC EDUCATION**

##### **DEFINITIONS**

SEC. 401. As used in this title--

(a) "Commissioner" means the Commissioner of Education.

(b) "Desegregation" means the assignment of students to public schools and within such schools without regard to their race, color, religion, or national origin, but "desegregation" shall not mean the assignment of students to public schools in order to overcome racial imbalance.

(c) "Public school" means any elementary or secondary educational institution, and "public college" means any institution of higher education or any technical or vocational school above the secondary school level, provided that such public school or public college is operated by a State, subdivision of a State, or governmental agency within a State, or operated wholly or predominantly from or through the use of governmental funds or property, or funds or property derived from a governmental source.

(d) "School board" means any agency or agencies which administer a system of one or more public schools and any other agency which is responsible for the assignment of students to or within such system.

## SURVEY AND REPORT OF EDUCATIONAL OPPORTUNITIES

SEC. 402. The Commissioner shall conduct a survey and make a report to the President and the Congress, within two years of the enactment of this title, concerning the lack of availability of equal educational opportunities for individuals by reason of race, color, religion, or national origin in public educational institutions at all levels in the United States, its territories and possessions, and the District of Columbia.

## TECHNICAL ASSISTANCE

SEC. 403. The Commissioner is authorized, upon the application of any school board, State, municipality, school district, or other governmental unit legally responsible for operating a public school or schools, to render technical assistance to such applicant in the preparation, adoption, and implementation of plans for the desegregation of public schools. Such technical assistance may, among other activities, include making available to such agencies information regarding effective methods of coping with special educational problems occasioned by desegregation, and making available to such agencies personnel of the Office of Education or other persons specially equipped to advise and assist them in coping with such problems.

## TRAINING INSTITUTES

SEC. 404. The Commissioner is authorized to arrange, through grants or contracts, with institutions of higher education for the operation of short-term or regular session institutes for special training designed to improve the ability of teachers, supervisors, counselors, and other elementary or secondary school personnel to deal effectively with special educational problems occasioned by

desegregation. Individuals who attend such an institute on a full-time basis may be paid stipends for the period of their attendance at such institute in amounts specified by the Commissioner in regulations, including allowances for travel to attend such institute.

## GRANTS

SEC. 405. (a) The Commissioner is authorized, upon application of a school board, to make grants to such board to pay, in whole or in part, the cost of--

(1) giving to teachers and other school personnel inservice training in dealing with problems incident to desegregation, and

(2) employing specialists to advise in problems incident to desegregation.

(b) In determining whether to make a grant, and in fixing the amount thereof and the terms and conditions on which it will be made, the Commissioner shall take into consideration the amount available for grants under this section and the other applications which are pending before him; the financial condition of the applicant and the other resources available to it; the nature, extent, and gravity of its problems incident to desegregation; and such other factors as he finds relevant.

## PAYMENTS

SEC. 406. Payments pursuant to a grant or contract under this title may be made (after necessary adjustments on account of previously made overpayments or underpayments) in advance or by way of reimbursement, and in such installments, as the Commissioner may determine.

## SUITS BY THE ATTORNEY GENERAL

SEC. 407. (a) Whenever the Attorney General receives a complaint in writing--

(1) signed by a parent or group of parents to the effect that his or their minor children, as members of a class of persons similarly situated, are being deprived by a school board of the equal protection of the laws, or

(2) signed by an individual, or his parent, to the effect that he has been denied admission to or not permitted to continue in attendance at a public college by reason of race, color, religion, or national origin, and the Attorney General believes the complaint is meritorious and certifies that the signer or signers of such complaint are unable, in his judgment, to initiate and maintain appropriate legal proceedings for relief and that the institution of an action will materially further the orderly achievement of desegregation in public education, the Attorney General is authorized, after giving notice of such complaint to the appropriate school board or college authority and after certifying that he is satisfied that such board or authority has had a reasonable time to adjust the conditions alleged in such complaint, to institute for or in the name of the United States a civil action in any appropriate district court of the United States against such parties and for such relief as may be appropriate, and such court shall have and shall exercise jurisdiction of proceedings instituted pursuant to this section, provided that nothing herein shall empower any official or court of the United States to issue any order seeking to achieve a racial balance in any school by requiring the transportation of pupils or students from one school to another or one school district to another in order to achieve such racial balance, or otherwise enlarge the existing power of the court to insure compliance with constitutional standards. The Attorney General may implead as defendants such additional parties as are or become necessary to the grant of effective relief hereunder.

(b) The Attorney General may deem a person or persons unable to initiate and maintain appropriate legal proceedings within the meaning of subsection

(a) of this section when such person or persons are unable, either directly or through other interested persons or organizations, to bear the expense of the

litigation or to obtain effective legal representation; or whenever he is satisfied that the institution of such litigation would jeopardize the personal safety, employment, or economic standing of such person or persons, their families, or their property.

(c) The term "parent" as used in this section includes any person standing in loco parentis. A "complaint" as used in this section is a writing or document within the meaning of section 1001, title 18, United States Code.

SEC. 408. In any action or proceeding under this title the United States shall be liable for costs the same as a private person.

SEC. 409. Nothing in this title shall affect adversely the right of any person to sue for or obtain relief in any court against discrimination in public education.

SEC. 410. Nothing in this title shall prohibit classification and assignment for reasons other than race, color, religion, or national origin.

Approved July 2, 1964.



# **DEPARTMENT OF EDUCATION**

## **34 CFR PARTS 270 AND 272**

### **Desegregation of Public Education**

#### **PART 270 -- DESEGREGATION OF PUBLIC EDUCATION**

Sec.

270.1 What are the Desegregation of Public Education Programs?

270.2 What regulations apply to these programs?

270.3 What definitions apply to these programs?

270.4 What types of projects are funded under these programs?

270.5 What stipends and related reimbursements are authorized under these programs?

270.6 What limitation is imposed on providing race and national origin desegregation assistance under these programs?

Authority: 42 U.S.C. 2000c-2000c-2, 2000-5, unless otherwise noted.

#### **§ 270.1 What are the Desegregation of Public Education Programs?**

The Desegregation of Public Education Programs provide grants to projects that help public school districts and personnel in the preparation, adoption, and implementation of plans for the desegregation of public schools and in the development of effective methods of coping with special educational problems occasioned by desegregation.

(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

#### **§ 270.2 What regulations apply to these programs?**

The following regulations apply to these programs:

(a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR Part 74 (Administration of Grants), Part 75 (Direct Grant Programs), Part 77 (Definitions That Apply to Department Regulations), Part 78 (Education Appeal Board), and Part 79 (Intergovernmental Review of Department of Education Programs and Activities), except that 34 CFR 75.200 through 75.217 (relating to the evaluation and competitive review of grants) do not apply to grants awarded under 34 CFR Part 271 and 34 CFR 75.232 (relating to the cost analysis) does not apply to grants under 34 CFR Part 272.

(b) The regulations in this part and in 34 CFR Parts 271 and 272.

(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

#### **§ 270.3 What definitions apply to these programs?**

In addition to the definitions in 34 CFR 77.1, the following definitions apply to the regulations in this part:

"Desegregation assistance" means the provision of technical assistance (including training) in the areas of race, sex, and national origin desegregation of public elementary and secondary schools.

(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

"Desegregation assistance areas" means the areas of race, sex, and national origin desegregation.  
(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

"Desegregation Assistance Center" means a regional desegregation technical assistance and training center funded under 34 CFR Part 272.  
(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

"Limited English proficiency" has the same meaning under this part as the same term defined in 34 CFR 500.4 of the General Provisions regulations for the Bilingual Education Program.  
(Authority: 20 U.S.C. 3223(a)(1))

"National origin desegregation" means the assignment of students to public schools and within those schools without regard to their national origin, including providing students of limited English proficiency with a full opportunity for participation in all educational programs.  
(Authority: 42 U.S.C. 2000c(b))

"Public school" means any elementary or secondary educational institution operated by a State, subdivision of a State, or governmental agency within a State, or operated wholly or predominantly from or through the use of governmental funds or property, or funds or property derived from governmental sources.  
(Authority: 42 U.S.C. 2000c(c))

"Public school personnel" means school board members and persons who are employed by or who work in the schools of a responsible governmental agency, as that term is defined in this section.  
(Authority: 42 U.S.C. 2000c(c); 2000c-2000c-2, 2000c-5)

"Race desegregation" means the assignment of students to public schools and within those schools without regard to their race including providing students with a full opportunity for participation in all educational programs regardless of their race. "Race desegregation" does not mean the assignment of students to public schools to correct conditions of racial separation that are not the result of State or local law or official action.  
(Authority: 42 U.S.C. 2000c(b))

"Responsible governmental agency" means any school board, State, municipality, school district, or other governmental unit legally responsible for operating a public school or schools.  
(Authority: 42 U.S.C. 2000c-2)

"School board" means any agency or agencies that administer a system of one or more public schools and any other agency that is responsible for the assignment of students to or within that system.  
(Authority: 42 U.S.C. 2000c(d))

"Sex desegregation" means the assignment of students to public schools and within those schools without regard to their sex including providing students with a full opportunity for participation in all educational programs regardless of their sex.  
(Authority: 42 U.S.C. 2000c(b))

#### **§ 270.4 What types of projects are funded under these programs?**

The Secretary may fund --

(b) Desegregation Assistance Centers (DACs).  
(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

**§ 270.5 What stipends and related reimbursements are authorized under this program?**

(a) The recipient of an award under 34 CFR Part 272 may pay --

(1) Stipends to public school personnel who participate in technical assistance or training activities funded under these parts for the period of their attendance, if the person to whom the stipend is paid receives no other compensation for that period; or

(2) Reimbursement to a responsible governmental agency that pays substitutes for public school personnel who --

(i) Participate in technical assistance or training activities funded under these parts; and

(ii) Are being compensated by that responsible governmental agency for the period of their attendance.

(b) A recipient may pay the stipends and reimbursements described in this section only if it demonstrates that the payment of these costs is necessary to the success of the technical assistance or training activity, and will not exceed 20 percent of the total award.

(c) If a recipient is authorized by the Secretary to pay stipends or reimbursements (or any combination of these payments), the recipient shall determine the conditions and rates for these payments in accordance with appropriate State policies, or in the absence of State Policies, in accordance with local policies.

(d) A recipient of a grant under 34 CFR Part 272 may pay a travel allowance described in these parts only to a person who participates in a technical assistance or training activity.

(e) If the participant does not complete the entire scheduled activity, the recipient may pay the participant's transportation to his or her residence or place of employment only if the participant left the training activity because of circumstances not reasonably within his or her control.

(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

**§ 270.6 What limitation is imposed on providing race and national origin desegregation assistance under these programs?**

(a) Except as provided in paragraph (b) of this section, a recipient of a grant for race or national origin desegregation assistance under these programs may not use funds to assist in the development or implementation of activities or the development of curriculum materials for the direct instruction of students to improve their academic and vocational achievement levels.

(b) A recipient of a grant for national origin desegregation assistance under these programs may use funds to assist in the development and implementation of activities or the development of curriculum materials for the direct instructional of students of limited English proficiency, to afford these students a full opportunity to participate in all educational programs.

(Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

## **PART 272 -- DESEGREGATION ASSISTANCE CENTER PROGRAM**

### **Subpart A -- General**

Sec.

272.1 What is the Desegregation Assistance Center Program?

272.2 Who is eligible to receive a grant under this program?

272.3 What regulations apply to this program?

272.4 What definitions apply to this program?

### **Subpart B -- What Kinds of Activities Does the Secretary Fund Under This Program?**

272.10 What type of projects may be funded?

272.11 Who may receive desegregation assistance under this program?

272.12 What geographic regions do the DACs serve?

### **Subpart C -- [Reserved]**

### **Subpart D -- How Does the Secretary Make a Grant?**

272.30 What criteria does the Secretary use to make a grant?

272.31 How does the Secretary evaluate an application for a grant?

272.32 How does the Secretary determine the amount of a grant?

### **Subpart E -- What Conditions Must Be Met by a Recipient of a Grant?**

272.40 What conditions must be met by a recipient of a grant?

Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5, unless otherwise noted.

### **Subpart A -- General**

#### **§ 272.1 What is the Desegregation Assistance Center Program?**

This program provides financial assistance to operate regional Desegregation Assistance Centers (DACs), to enable them to provide technical assistance (including training) at the request of school boards and other responsible governmental agencies in the preparation, adoption, and implementation of plans for the desegregation of public schools, and in the development of effective methods of coping with special educational problems occasioned by desegregation.

(Authority: 42 U.S.C. 2000c-2)

#### **§ 272.2 Who is eligible to receive a grant under this program?**

A public agency (other than a State educational agency or a school board) or private, nonprofit organization is eligible to receive a grant under this program.

(Authority: 42 U.S.C. 2000c-2)

**§ 272.3 What regulations apply to this program?**

The following regulations apply to the DAC program:

(a) The regulations in 34 CFR Part 270.

(b) The regulations in this part.

(Authority: 42 U.S.C. 2000c-2)

**§ 272.4 What definitions apply to this program?**

The definitions in 34 CFR 270.3 apply to the DAC program.

(Authority: 42 U.S.C. 2000c-2)

**Subpart B -- What Kinds of Activities Does the Secretary Fund Under This Program?**

**§ 272.10 What types of projects may be funded?**

(a) The Secretary may award funds to DACs for projects offering technical assistance (including training) to school boards and other responsible governmental agencies, at their request, for assistance in the preparation, adoption, and implementation of desegregation plans.

(b) A project must provide technical assistance in all three of the desegregation assistance areas, as defined in 34 CFR 270.3.

(c) Desegregation assistance may include, among other activities --

(1) Dissemination of information regarding effective methods of coping with special educational problems occasioned by desegregation;

(2) Assistance and advice in coping with these problems; and

(3) Training designed to improve the ability of teachers, supervisors, counselors, parents, community members, and other elementary or secondary school personnel to deal effectively with special educational problems occasioned by desegregation.

(Authority: 42 U.S.C. 2000c-2)

**§ 272.11 Who may receive desegregation assistance under this program?**

(a) The recipient of a grant under this part may provide assistance only if requested by school boards and other responsible governmental agencies located in its geographical service area.

(b) The recipient may provide assistance only to the following persons:

(1) Public school personnel.

(2) Students enrolled in public schools, parents of those students, and other community members.

(Authority: 42 U.S.C. 2000c-2)

## **§ 272.12 What geographic regions do the DACs serve?**

The Secretary awards a grant to provide race, sex, and national origin desegregation assistance under this program in each of the following geographic regions:

- (a) Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont.
  - (b) New York, New Jersey, Puerto Rico, Virgin Islands.
  - (c) Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia.
  - (d) Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee.
  - (e) Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin.
  - (f) Arkansas, Louisiana, New Mexico, Oklahoma, Texas.
  - (g) Iowa, Kansas, Missouri, Nebraska.
  - (h) Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming.
  - (i) Arizona, California, Nevada.
  - (j) Alaska, American Samoa, Guam, Hawaii, Idaho, Northern Mariana Islands, Oregon, Trust Territory of the Pacific Islands, Washington.
- (Authority: 42 U.S.C. 2000c-2000c-2, 2000c-5)

### **Subpart C -- [Reserved]**

### **Subpart D -- How Does the Secretary Make a Grant?**

## **§ 272.30 What criteria does the Secretary use to make a grant?**

The Secretary uses the following criteria to evaluate applications for DAC grants.

(a) *Mission and strategy.* (30 Points) The Secretary reviews each application to determine the extent to which the applicant understands effective practices for addressing problems in each of the desegregation assistance areas, including the extent to which the applicant --

- (1) Understands the mission of the proposed DAC;
- (2) Is familiar with relevant research, theory, materials, and training models;
- (3) Is familiar with the types of problems that arise in each of the desegregation assistance areas;
- (4) Is familiar with relevant strategies for technical assistance and training; and
- (5) Is familiar with the desegregation needs of responsible governmental agencies in its designated region.

(b) *Organizational capability.* (15 Points) The Secretary reviews each application to determine the ability of the applicant to sustain a long-term, high-quality, and coherent program of technical assistance and training, including the extent to which the applicant --

- (1) Demonstrates the commitment to provide the services of appropriate faculty or staff members from its organization;

(2) Selects project staff with an appropriate mixture of scholarly and practitioner backgrounds; and

(3) Has had past successes in rendering technical assistance and training in the desegregation assistance areas, including collaborating with other individuals and organizations.

(c) *Plan of operation.* (25 Points) The Secretary reviews each application to determine the quality of the plan of operation for the project, including the extent to which --

(1) The design of the project is of high quality;

(2) The plan of management ensures proper and efficient administration of the project;

(3) The applicant plans to use its resources and personnel effectively to achieve each objective; and

(4) The applicant will ensure that project participants who are otherwise eligible to participate are selected without regard to race, color, national origin, sex, age, or handicapping condition.

(d) *Quality of key personnel.* (15 Points)

(1) The Secretary reviews each application to determine the qualifications of the key personnel that the applicant plans to use on the project, including --

(i) The qualifications of the project director;

(ii) The qualifications of the other key personnel to be used in the project;

(iii) The time that each person referred to in paragraphs (d)(1) (i) and (ii) of this section will commit to the project; and

(iv) How the applicant, as part of its nondiscriminatory employment practices, will ensure that its personnel are selected for employment without regard to race, color, national origin, gender, age, or handicapping condition.

(2) To determine personnel qualifications, under paragraphs (d)(1) (i) and (ii) of this section, the Secretary considers --

(i) Experience and training in fields related to the objectives of the project; and

(ii) Any other qualifications that pertain to the quality of the project.

(e) *Budget and cost effectiveness.* (5 Points) The Secretary reviews each application to determine the extent to which --

(1) The budget for the project is adequate to support the project activities; and

(2) Costs are reasonable in relation to the objectives of the project.

(f) *Evaluation plan.* (5 Points) The Secretary reviews each application to determine the quality of the evaluation plan for the project, including the extent to which the methods of evaluation --

(1) Are appropriate for the project; and

(2) To the extent possible, are objective and produce data that are quantifiable.

(g) *Adequacy of resources.* (5 Points) The Secretary reviews each application to determine the adequacy of the resources that the applicant plans to devote to the project, including facilities, equipment, and supplies.

(Approved under OMB Control No. 1810-0517)

(Authority: 42 U.S.C. 2000c-2)

**§ 272.31 How does the Secretary evaluate an application for a grant?**

(a) The Secretary evaluates the application on the basis of the criteria in § 272.30.

(b) The Secretary selects the highest ranking application for each geographical service area to receive a grant.

(Authority: 42 U.S.C. 2000c-2)

**§ 272.32 How does the Secretary determine the amount of a grant?**

The Secretary determines the amount of a grant on the basis of --

(a) The amount of funds available for all grants under this part;

(b) A cost analysis of the project (that shows whether the applicant will achieve the objectives of the project with reasonable efficiency and economy under the budget in the application), by which the Secretary --

(1) Verifies the cost data in the detailed budget for the project;

(2) Evaluates specific elements of costs; and

(3) Examines costs to determine if they are necessary, reasonable, and allowable under applicable statutes and regulations;

(c) The magnitude of the expected needs or responsible governmental agencies for desegregation assistance in the geographic region, and the cost of providing that assistance to meet those needs, as compared with the magnitude of the expected needs for desegregation assistance, and the cost of providing it, in all geographic regions for which applications are approved for funding;

(d) The size and the racial or ethnic diversity of the student population of the geographic region for which the DAC will provide services; and

(e) Any other information concerning desegregation problems and proposed activities that the Secretary finds relevant in the applicant's geographic region.

(Authority: 42 U.S.C. 2000c-2)

**Subpart E -- What Conditions Must Be Met by a Recipient of a Grant?**

**§ 272.40 What conditions must be met by a recipient of a grant?**

A recipient of a grant under this part must --

(a) Operate a DAC in the geographic region to be served;

(b) Have a full-time project director; and



(c) Coordinate assistance in its geographic region with appropriate SEAs funded under 34 CFR Part 271. As part of this coordination, the recipient shall develop plans to prevent duplication of assistance when a responsible governmental agency requests assistance from both the DAC and the appropriate SEA.

(Authority: *42 U.S.C. 2000c-2*)

[FR Doc. 87-15114 Filed 6-30-87;8:45 am]

# **Section C:**

## **GENERAL APPLICATION FORMS AND INSTRUCTIONS**

### **EQUITY ASSISTANCE CENTER PROGRAM CFDA Number 84.004D**

#### **APPLICATION ORDER:**

To compete for an award under this program competition, it is recommended that your completed application be organized in the following order and include the following parts:

#### **Part I: Application for Federal Assistance (ED Form 424)**

This part of your application consists of the standard application face page on which you provide basic identifying information about the applicant and the application. Specific instructions for completing this form are provided. Also included are the D-U-N-S Number Instructions.

#### **Part II: Project Abstract**

Please submit a 1 page abstract describing the proposed project. This is a key element in the application and should include statements regarding (1) the significance of the project; (2) the proposed plan of operation including the project design and project services; (3) the project's intended outcomes and evaluation plan.

#### **Part III: Program Narrative**

The program narrative should follow the order of the selection criteria as included in this application package and in the Closing Date Notice which was published in the Federal Register. Describe in detail the activities planned for each funding period. As you formulate your proposed project objectives and evaluation plans, it would be helpful to review the performance measures to determine if the program narrative information that is referenced in the EAC performance measures is aligned with your specific Equity Assistance Center program performance plan objectives and indicators. A copy of the performance measures has been

included in this application package. The program narrative should be limited to 75 pages. In addition, see Section F, Notice to All Applicants (Section 427 GEPA), regarding the provision that applies to applicants for new grant awards under Department of Education programs and must be included in your narrative.

**Please keep in mind that 10 regional Equity Assistance Centers will be established under this grant competition. The proposals will be read according to the region they represent, and one award will be made in each region, to the highest scoring proposal from that region.**

#### **Part IV: Budget Form and Information (Standard Form 524) and Survey on Ensuring Equal Opportunity for Applicants – (form for non-profit organizations)**

This part of your application contains information about the federal funding you are requesting. Specific instructions for completing the budget forms and information immediately follow the form. An itemized budget breakdown and budget narrative are required. If you are requesting multi-year funding, you must provide a complete budget for each year of the proposed project.

The Survey on Ensuring Equal Opportunity for Applicants is included. This form is for applicants that are non-profit private organizations (not including private universities).

#### **Part V: Assurances and Certifications**

Be certain to include all assurances and certifications, and sign each form in the appropriate place. The assurances and certifications included in this application package are:

- Assurances - Non-Construction Programs (Standard Form 424B)
- ED Form 80-0013 Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements
- ED Form 80-0014 Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier covered transactions
- ED 80-0016 Form – Certification on Eligibility for Federal Assistance in Certain Programs
- Standard Form LLL - Disclosure of Lobbying Activity

The forms listed above are required in all application submissions. They are included in your printed application package, but not in the electronic package on the ED web site. If you download the electronic package, you must also download the required forms, which are available at:

<http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>

If you do not have access to this web site, please fax your request for these forms to Sandra Brown at (202) 205-5870. Please be sure to include your name, return fax number and/or mailing address.

If you should need additional assistance, please contact Sandra Brown, Program Manager, U.S. Department of Education, School Improvement Programs, at (202) 260-2638. Her e-mail address is: [sandra.brown@ed.gov](mailto:sandra.brown@ed.gov)

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1890-0017  
Exp. 02/28/2005

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

3. Applicant's T-I-N | | | | | - | | | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

## Application Information

### 10. Type of Submission:

-PreApplication -Application  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

### 11. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_/\_\_\_/\_\_\_

\_\_\_ No (If "No," check appropriate box below.)

\_\_\_ Program is not covered by E.O. 12372.

\_\_\_ Program has not been selected by State for review.

12. Proposed Project Dates: \_\_\_/\_\_\_/\_\_\_

Start Date:

End Date:

## Estimated Funding

15a. Federal \$ .00

b. Applicant \$ .00

c. State \$ .00

d. Local \$ .00

e. Other \$ .00

f. Program Income \$ .00

g. TOTAL \$ .00

## Organizational Unit

6. Novice Applicant \_\_\_Yes \_\_\_No

7. Is the applicant delinquent on any Federal debt? \_\_\_Yes \_\_\_No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_|

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

9. State Application Identifier \_\_\_\_\_

13. Are any research activities involving human subjects planned at  
any time during the proposed project period?

\_\_\_ Yes (Go to 13a.) \_\_\_ No (Go to item 14.)

13a. Are all the research activities proposed designated to be  
exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

14. Descriptive Title of Applicant's Project:

## Authorized Representative Information

16. To the best of my knowledge and belief, all data in this application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_/\_\_\_/\_\_\_

## Instructions for Form ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **State Application Identifier.** State use only (if applicable).
10. **Type of Submission.** See "Definitions for Form ED 424" attached.
11. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (mm/dd/yyyy). Otherwise, check "No."
12. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (mm/dd/yyyy).
13. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")  
  
If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.  
  
If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")  
  
13a. **If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
13a. **If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.  
  
13a. **Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request

- 14. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
- 15. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
- 16. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to

enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (mm/dd/yyyy) in the date signed field.

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street SW, Room 7076, Washington, DC 20202-4260

# PROTECTION OF HUMAN SUBJECTS IN RESEARCH

## I. Definitions and Exemptions

### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption*



***2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

## **D-U-N-S Number Instructions**

D-U-N-S Number must be provided on the application cover page (ED 424 form, item #2). D-U-N-S numbers may be obtained at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained through the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S Numbers to over 43 million companies worldwide.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328) which limit political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. §§ 276c and 18 U.S.C. § 874) and the Contract Work Hours and

Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, § Audits of States, Local Governments, and Non-Profit Organizations.□
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE
APPLICANT ORGANIZATION		DATE SUBMITTED

## CERTIFICATION REGARDING LOBBYING

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Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

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As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

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**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE



## Certification of Eligibility for Federal Assistance in Certain Programs

I understand that 34 CFR 75.60, 75.61, and 75.62 require that I make specific certifications of eligibility to the U.S. Department of Education (ED) as a condition of applying for Federal funds in certain programs and that these requirements are in addition to any other eligibility requirements that ED imposes under program regulations. Under 34 CFR 75.60 – 75.62:

I. I certify that:

A. I do not owe a debt, or I am current in repaying a debt, or I am not in default (as that term is used at 34 CFR Part 668) on a debt:

1. To the Federal Government under a nonprocurement transaction (e.g., a previous loan, scholarship, grant, or cooperative agreement); or
2. For a fellowship, scholarship, stipend, discretionary grant, or loan in any program of ED that is subject to 34 CFR 75.60, 75.61, and 75.62, including:
  - Federal Pell Grant Program (20 U.S.C. 1070a, et seq.);
  - Federal Supplemental Educational Opportunity Grant (SEOG) Program (20 U.S.C. 1070(b), et seq.);
  - State Student Incentive Grant Program (SSIG) 20 U.S.C. 1070c, et seq.);
  - Federal Perkins Loan Program (20 U.S.C. 1087aa, et seq.);
  - Income Contingent Direct Loan Demonstration Project (20 U.S.C. 1087a, note);
  - Federal Stafford Loan Program, Federal Supplemental Loans for Students [SLS], Federal PLUS, or Federal Consolidation Loan Program (20 U.S.C. 1071, et seq.);
  - William D. Ford Federal Direct Loan Program (20 U.S.C. 1087a, et seq.);
  - Cuban Student Loan Program (20 U.S.C. 2601, et seq.);
  - Robert C. Byrd Honors Scholarship Program (20 U.S.C. 1070d-31, et seq.);
  - Jacob K. Javits Fellows Program (20 U.S.C. 1134h-1134l);
  - Patricia Roberts Harris Fellowship Program (20 U.S.C. 1134d-1134g);
  - Christa McAuliffe Fellowship Program (20 U.S.C. 1105-1105i);
  - Bilingual Education Fellowship Program (20 U.S.C. 3221-3262);
  - Rehabilitation Long-Term Training Program (29 U.S.C. 774(b));
  - Paul Douglas Teacher Scholarship Program (20 U.S.C. 1104, et seq.);
  - Law Enforcement Education Program (42 U.S.C. 3775);
  - Indian Fellowship Program (29 U.S.C. 774(b));
  - Teacher Quality Enhancement Grants Program (20 U.S.C. 1021, et seq.);

**OR**

B. I have made arrangements satisfactory to ED to repay a debt as described in A.1. or A.2. (above) on which I had not been current in repaying or on which I was in default (as that term is used in 34 CFR Part 668).

II. I certify also that I have not been declared by a judge, as a condition of sentencing under section 5301 of the Anti-Drug Abuse Act of 1988 (21 U.S.C. 862), ineligible to receive Federal assistance for the period of this requested funding.

I understand that providing a false certification to any of the statements above makes me liable for repayment to ED for funds received on the basis of this certification, for civil penalties, and for criminal prosecution under 18 U.S.C. 1001.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Typed or Printed Name)

Name or number of ED program under which this certification is being made: \_\_\_\_\_



### Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	<b>2. Status of Federal Action:</b> _____ a. bid/offer/application _____ b. initial award _____ c. post-award	<b>3. Report Type:</b> _____ a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime      _____ Subawardee Tier _____, if Known:   <b>Congressional District, if known:</b>	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>    <b>Congressional District, if known:</b>	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>7. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. **Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.**
2. **Identify the status of the covered Federal action.**
3. **Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.**
4. **Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.**
5. **If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.**
6. **Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.**
7. **Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.**
8. **Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."**
9. **For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.**
10. **(a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.**  
  
**(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).**
11. **The certifying official shall sign and date the form, print his/her name, title, and telephone number.**

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

**U.S. DEPARTMENT OF EDUCATION**  
**BUDGET INFORMATION**  
**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004  
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY**  
**U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? \_\_\_\_ Yes \_\_\_\_ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_ (mm/dd/yyyy)

Approving Federal agency: \_\_\_\_ ED \_\_\_\_ Other (please specify): \_\_\_\_\_

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

\_\_\_\_ Is included in your approved Indirect Cost Rate Agreement? or \_\_\_\_ Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						
<b>SECTION C – BUDGET NARRATIVE</b> (see instructions)						

# Instruction for ED 524

## General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

## Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR

76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

## Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

## Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which

the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 708-7770 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

## Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-xxxx**. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.  
**OMB Approval No. 0348-0040**



# Survey on Ensuring Equal Opportunity FOR APPLICANTS

*Do not enter information below unless instructed to do so.*

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

## INSTRUCTIONS FOR SUBMITTING SURVEY

**If submitting hard copy,** please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

**If submitting electronically,** please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? (*Check only one box.*)

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? (*Check only one box.*)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

## ***Survey Instructions on Ensuring Equal Opportunity for Applicants***

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1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7<sup>th</sup> and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

**Section D:**

**APPLICATION REVIEW AND SELECTION**

**SELECTION CRITERIA**

**AND PERFORMANCE MEASURES**



## **SELECTION CRITERIA**

Each of the following factors within the selection criterion is critical to the design and implementation of high-quality Equity Assistance Center projects. Peer reviewers will rate each application by assigning up to the total number of points indicated below for the responses to the selection criterion.

For further guidance, please also refer to the Equity Assistance Center's statute and regulations that are located in Section B of this application package. You may find additional information on the Department's website at [www.ed.gov](http://www.ed.gov) under the Office of Elementary and Secondary Education/School Support and Technology Programs/Training and Advisory Services (Equity Assistance Center Program).

## SELECTION CRITERIA EQUITY ASSISTANCE CENTER PROGRAM CFDA NUMBER 84.004D

The selection criteria for this competition are from The Education Department General Administrative Regulations (EDGAR) General Selection Criteria at 34 CFR 75.210. These selection criteria apply to allowable activities. The maximum score for each criterion is indicated in parentheses with the criterion. The maximum number of points an application may earn based on the selection criteria is 100 points. The criteria are as follows:

(a) Significance (20 points)

The Secretary considers the significance of the proposed project. In determining the significance of the proposed project, the Secretary considers the following factors:

- (1) The national significance of the proposed project.
- (2) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.
- (3) The likelihood that the proposed project will result in system change or improvement.
- (4) The extent to which the proposed project is likely to build local capacity to provide, improve, or expand services that address the needs of the target population.
- (5) The importance or magnitude of the results or outcomes likely to be attained by the proposed project, especially improvements in teaching and student achievement.

(b) Quality of the Project Design (15 Points)

The Secretary considers the quality of the design of the proposed project. In determining the quality of the design of the proposed project, the Secretary considers the following factors:

- (1) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.
- (2) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs.
- (3) The extent to which the proposed activities constitute a coherent, sustained program of training in the field.
- (4) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives.
- (5) The extent to which the proposed project encourages parental involvement.

(c) Quality of Project Services (20 Points)

The Secretary considers the quality of the services to be provided by the proposed project. In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

- (1) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in practice among the recipients of those services.

(2) The likelihood that the services to be provided by the proposed project will lead to improvements in the achievement of students as measured against rigorous academic standards.

(3) The extent to which the technical assistance services to be provided by the proposed project involve the use of efficient strategies, including the use of technology, as appropriate, and the leveraging of non-project resources.

(4) The extent to which the services to be provided by the proposed project are focused on those with greatest needs.

(d) Quality of Project Personnel (10 Points)

The Secretary considers the quality of the personnel who will carry out the proposed project. In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. In addition, the Secretary considers the following factors:

(1) The qualifications, including relevant training and experience, of the project director.

(2) The qualifications, including relevant training and experience, of key project personnel.

(3) The qualifications, including relevant training and experience, of project consultants.

(e) Adequacy of Resources (5 Points)

The Secretary considers the adequacy of resources for the proposed project. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(1) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(2) The extent to which the budget is adequate to support the proposed project.

(3) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

(f) Quality of the Management Plan (15 Points)

The Secretary considers the quality of the management plan for the proposed project. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(2) The extent to which the time commitments of the project director and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(g) Quality of the Project Evaluation (15 Points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the following factors:

(1) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(2) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(3) The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes.

**EQUITY ASSISTANCE CENTER PROGRAM**  
**CFDA Number 84.004D**

**PERFORMANCE MEASURES**  
**FY'2005**

**PROGRAM GOAL:**

To support access and equity in public schools and help school districts solve equity problems in education related to race, gender, and national origin.

**OBJECTIVE:**

Provide high-quality technical assistance and training to public school districts in addressing equity in education.

**INDICATOR 1:**

Training and technical assistance services result in the promotion of policies and practices to ensure that all children regardless of race, sex, or national origin have equal access to quality education and equitable opportunity for high quality instruction.

**TARGETS and PERFORMANCE DATA:**

- I. As a result of products and services provided by the Equity Assistance Centers, an increasing percentage of customers will develop, implement, or improve their policies and practices in eliminating, reducing, or preventing harassment, conflict, and school violence.
- II. As a result of products and services provided by the Equity Assistance Centers, an increasing percentage of customers will develop, implement, or improve their policies and practices ensuring that students of different race, national origin, and sex have equitable opportunity for high quality instruction.

**INDICATOR 2:**

Training and technical assistance services result in products and services that are deemed to be of high usefulness to education policy or practice.

**TARGETS and PERFORMANCE DATA:**

An increasing percentage of customers will report that the products and services they received from the Equity Assistance Centers are of high usefulness to their policies and practices.

**Section E:**

**Transmittal Instructions and Checklist**

## **INSTRUCTIONS FOR ELECTRONIC TRANSMISSION OF YOUR APPLICATION**

Applications for grants under this program must be submitted electronically using the Department's e-Grants system, accessible through the e-Grants portal page at: <http://e-grants.ed.gov>. While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

You must submit all documents electronically, including the Application for Federal Education Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. Your electronic application must comply with any page limit requirements described in the Federal Register Notice and repeated on page 56 of this application package.

### **Deadline for Electronic Submission**

**You must complete the electronic submission of your grant application by 4:30 p.m., Washington, DC time, on the applicable application deadline date.** The e-Application system will not accept an application for this program after 4:30 p.m., Washington, DC time, on the applicable application deadline date. Therefore, we strongly recommend that you do not wait until the applicable application deadline date to begin the full application process.

The regular hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday, Washington, DC time. Please note that the system is unavailable on Sundays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time, for maintenance. Any modifications to these hours are posted on the e-Grants Web site.

### **After Submitting Your Application Electronically**

After you electronically submit your application, you will receive an automatic acknowledgement that will include a PR/Award number (an identifying number unique to your application).

Within three working days after submitting your electronic application, fax a signed copy of the ED 424 to the Application Control Center after following these steps:

1. Print ED 424 from e-Application.
2. The applicant's Authorizing Representative must sign this form.
3. Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the ED 424.
4. Fax the signed ED 424 to the Application Control Center at (202) 245-6272.

We may request that you provide us original signatures on other forms at a later date.

### **Application Deadline Date Extension in Case of System Unavailability:**

If you are prevented from electronically submitting your application on the applicable application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if—

1. You are a registered user of e-Application and you have initiated the applicable electronic application for this competition; and
2. The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the applicable application deadline date; or the e-Application system is unavailable for any



period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the applicable application deadline date.

**We must acknowledge and confirm these periods of unavailability before granting you an extension.**

To request this extension or to confirm our acknowledgement of any system unavailability, you may contact

Sandra Brown at 202-260-2638

or

The e-Grants help desk at 1-888-336-8930.

If the system is down and therefore the applicable application deadline is extended, an email will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

If the e-Application system is available, and you are unable to submit your application electronically or you do not receive an automatic acknowledgement of your submission, you must submit your application in paper format by mail or hand delivery in accordance with the instructions beginning on page 86 of this application package. Your paper application must be accompanied by a written request for waiver of the electronic submission requirement documenting the reasons that prevented you from using the Internet to submit your application electronically.

#### **Tips for Electronic Submission**

- We strongly recommend that you do not wait until the applicable application deadline date to begin the application process.
- Prior to submitting your electronic application, we recommend that you print a copy of it for your records.
- For technical assistance with the e-Application system, contact the e-Grants Help Desk at 1-888-336-8930.

### **INSTRUCTIONS FOR WAIVER OF MANDATORY ELECTRONIC SUBMISSION REQUIREMENTS**

If you are unable to submit an application through the e-Grants system, you may submit a written request for a waiver of the electronic submission requirement. In your request, you should explain the reason or reasons that prevent you from using the Internet to submit your application. Address your request to:

Sandra Brown  
U.S. Department of Education  
400 Maryland Avenue, SW., FB-6, Room 3E116  
Washington, DC 20202-6400.

or

sandra.brown@ed.gov

Please submit your request no later than two weeks before the applicable application deadline date. Your paper application must be submitted in accordance with the mail or hand delivery instructions beginning on page 86 of this application package.

If, within two weeks of the applicable application deadline date, including on the applicable application deadline date itself, you are unable to submit an application electronically, you must submit a paper application in accordance with the mail or hand delivery instructions beginning on page 86 of this application package. The paper application must include a written request for a waiver documenting the reasons that prevented you from using the Internet to submit your application electronically.

**Submission of Paper Applications by Mail.**

If you have requested a waiver of the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must send the original and two copies of your application, on or before the applicable application deadline date, to the Department at the applicable following address:

**By mail through the U.S. Postal Service:**

U.S. Department of Education  
Application Control Center  
Attention: CFDA Number 84.004D  
400 Maryland Avenue, SW., FB-6  
Washington, DC 20202-4260

or

**By mail through a commercial carrier:**

U.S. Department of Education  
Application Control Center – Stop 4260  
Attention: CFDA Number 84.004D  
7100 Old Landover Road  
Landover, MD 20785-1506

You must show proof of mailing consisting of one of the following:

1. A legibly dated U.S. Postal Service postmark;
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service;
3. A dated shipping label, invoice, or receipt from a commercial carrier; or
4. Any other proof of mailing acceptable to the U.S. Secretary of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

1. A private metered postmark, or
2. A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the applicable application deadline date, we will not consider your application.

**Note:** Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

### **Submission of Paper Applications by Hand Delivery**

If you have requested a waiver of the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the applicable application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: 84.004D  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department:

1. You must indicate on the envelope and — if not provided by the Department — in Item 4 of the ED 424 the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.
2. The Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 business days of the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

**APPLICATION CHECK LIST**  
**EQUITY ASSISTANCE CENTER PROGRAM**  
**CFDA Number 84.004D**

**A complete application must include all the documents listed below:**

- \_\_\_\_\_Application for Federal Assistance Cover Page (ED 424)
- \_\_\_\_\_ED Form 424B
- \_\_\_\_\_Budget Forms (ED Form 524)
- \_\_\_\_\_Itemized Budget and Narrative for each year of funding requested
- \_\_\_\_\_Program Narrative, including responses to the Selection Criteria.
- \_\_\_\_\_Abstract (1 page, double spaced)
- \_\_\_\_\_Response to Section 427 of GEPA Guidance
- \_\_\_\_\_Assurances and Certifications
  - \_\_\_\_\_Assurances --- Non-Constructions Programs (SF – 424)
  - \_\_\_\_\_Certifications Regarding Lobbying; Debarment; Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013)
  - \_\_\_\_\_Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion --- Lower Tier Covered Transactions (ED 80-0014)
  - \_\_\_\_\_Certification of Eligibility for Federal Assistance (ED 80-0016)
  - \_\_\_\_\_Disclosure of Lobbying Activities (SF-LLL)
  - \_\_\_\_\_Survey on Ensuring Equal Opportunity (for non-profit private organizations)

Have you:

- \_\_\_\_\_Provided one (1) original and two copies of the application (if submitting hard copies of the application)?
- \_\_\_\_\_Included all required forms with original signatures and dates?
- \_\_\_\_\_Submitted a copy of the application to the State Single Point of Contact? (if applicable)
- \_\_\_\_\_Addressed GEPA 427 (Section F)?
- \_\_\_\_\_Included: **“Attention: CFDA 84.004D”** on the cover and the envelope containing your application package?

## **Section F:**

### **OTHER IMPORTANT INFORMATION AND NOTICES**

- Notice to All Applicants - General Education Provision Act (GEPA) Requirements – Section 427
- Executive Order 12372 and State Single Point of Contact
- ED Form 5348 - Important Notice to Prospective Participants under U.S. Department of Education Grant and Contract Programs
- Grant Application Receipt Acknowledgement

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan

to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-4250.

This publication by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). This publication incorporates the most recent revisions made by OMB. The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site:

<http://www.whitehouse.gov/omb/grants/spoc.html>. You may save a text version of this document at the aforementioned site. Please note it will be necessary to put a row of space between each state listing.

## STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>

**States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.**

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. <http://12.46.245.173/cfda/cfda.html>

<p><b>ARKANSAS</b></p> <p>Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 7<sup>th</sup> Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 <a href="mailto:Tlcpeland@dfa.state.ar.us">Tlcpeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b></p> <p>Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b></p> <p>Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3<sup>rd</sup> Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 <a href="mailto:Chopkins@state.de.us">Chopkins@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b></p> <p>Luisa Montero-Diaz Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 414 4<sup>th</sup> Street, NW, Suite 530 South Washington, DC 20001 Telephone: (202) 727-8900 FAX: (202) 727-1652 <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>



<p><b>FLORIDA</b></p> <p>Jasmin Raffington  Florida State Clearinghouse  Department of Community Affairs  2555 Shumard Oak Blvd.  Tallahassee, Florida 32399-2100  Telephone: (850) 922-5438  FAX: (850) 414-0479  <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a></p>	<p><b>GEORGIA</b></p> <p>Georgia State Clearinghouse  270 Washington Street, SW  Atlanta, Georgia 30334  Telephone: (404) 656-3855  FAX: (404) 656-7901  <a href="mailto:Gach@mail.opb.state.ga.us">Gach@mail.opb.state.ga.us</a></p>
<p><b>ILLINOIS</b></p> <p>Virginia Bova  Department of Commerce and Community Affairs  James R. Thompson Center  100 West Randolph, Suite 3-400  Chicago, Illinois 60601  Telephone: (312) 814-6028  FAX: (312) 814-8485  <a href="mailto:ybova@commerce.state.il.us">ybova@commerce.state.il.us</a></p>	<p><b>IOWA</b></p> <p>Steven R. McCann  Division of Community and Rural Development  Iowa Department of Economic Development  200 East Grand Avenue  Des Moines, Iowa 50309  Telephone: (515) 242-4719  FAX: (515) 242-4809  <a href="mailto:Steve.mccann@ided.state.ia.us">Steve.mccann@ided.state.ia.us</a></p>
<p><b>KENTUCKY</b></p> <p>Ron Cook  Department for Local Government  1024 Capital Center Drive, Suite 340  Frankfort, Kentucky 40601  Telephone: (502) 573-2382  FAX: (502) 573-2512  <a href="mailto:Ron.cook@mail.state.ky.us">Ron.cook@mail.state.ky.us</a></p>	<p><b><u>MAINE</u></b></p> <p>Joyce Benson  State Planning Office  184 State Street  38 State House Station  Augusta, Maine 04333  Telephone: (207) 287-3261  Telephone: (207) 1461 (direct)  FAX: (207) 287-6489  <a href="mailto:Joyce.benson@state.me.us">Joyce.benson@state.me.us</a></p>
<p><b><u>MARYLAND</u></b></p> <p>Linda Janey  Manager, Clearinghouse and Plan Review Unit  Maryland Office of Planning  301 West Preston Street – Room 1104  Baltimore, Maryland 21201-2305  Telephone: (410) 767-4490  FAX: (410) 767-4480  <a href="mailto:linda@mail.op.state.md.us">linda@mail.op.state.md.us</a></p>	<p><b><u>MICHIGAN</u></b></p> <p>Richard Pfaff  Southeast Michigan Council of Governments  535 Griswold, Suite 300  Detroit, Michigan 48226  Telephone: (313) 961-4266  FAX: (313) 961-4869  <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a></p>

<p><b>MISSISSIPPI</b></p> <p>Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758</p>	<p><b>MISSOURI</b></p> <p>Angela Boessen Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 <a href="mailto:igr@mail.oa.state.mo.us">igr@mail.oa.state.mo.us</a></p>
<p><b><u>NEVADA</u></b></p> <p>Heather Elliott Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701-4298 Telephone: (775) 684-0209 FAX: (775) 684-0260 <a href="mailto:Helliot@govmail.state.nv.us">Helliot@govmail.state.nv.us</a></p>	<p><b><u>NEW HAMPSHIRE</u></b></p> <p>Jeffrey H. Taylor Director New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 <a href="mailto:Jtaylor@osp.state.nh.us">Jtaylor@osp.state.nh.us</a></p>
<p><b><u>NEW MEXICO</u></b></p> <p>Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 <a href="mailto:Khughes@dfa.state.nm.us">Khughes@dfa.state.nm.us</a></p>	<p><b><u>NORTH CAROLINA</u></b></p> <p>Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 <a href="mailto:Jeanette.furney@ncmail.net">Jeanette.furney@ncmail.net</a></p>
<p><b><u>NORTH DAKOTA</u></b></p> <p>Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismarck, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 <a href="mailto:Jboyd@state.nd.us">Jboyd@state.nd.us</a></p>	<p><b><u>RHODE ISLAND</u></b></p> <p>Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a></p>

<p><u>SOUTH CAROLINA</u></p> <p>Omeagia Burgess  Budget and Control Board  Office of State Budget  1122 Ladies Street – 12<sup>th</sup> Floor  Columbia, South Carolina 29201  Telephone: (803) 734-0494  FAX: (803) 734-0645  <a href="mailto:Aburgess@budget.state.sc.us">Aburgess@budget.state.sc.us</a></p>	<p>TEXAS</p> <p>Denise S. Francis  Director, State Grants Team  Governor’s Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  FAX: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>
<p><u>UTAH</u></p> <p>Carolyn Wright  Utah State Clearinghouse  Governor’s Office of Planning and Budget  State Capitol, Room 114  Salt Lake City, Utah 84114  Telephone: (801) 538-1535  FAX: (801) 538-1547  <a href="mailto:cwright@gov.state.ut.us">cwright@gov.state.ut.us</a></p>	<p><u>WEST VIRGINIA</u></p> <p>Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  FAX: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>
<p><u>WISCONSIN</u></p> <p>Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street – 6<sup>th</sup> Floor  P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:jeffrey.smith@doa.state.wi.us">jeffrey.smith@doa.state.wi.us</a></p>	<p>AMERICAN SAMOA</p> <p>Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>

<u>GUAM</u>  Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 <a href="mailto:jer@ns.gov.gu">jer@ns.gov.gu</a>	<b>PUERTO RICO</b>  Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783
<u>NORTHERN MARIANA ISLANDS</u>  Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 <a href="mailto:omb.jseman@saipan.com">omb.jseman@saipan.com</a>	<b>VIRGIN ISLANDS</b>  Ira Mills Director, Office of Management & Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 <a href="mailto:Irmills@usvi.org">Irmills@usvi.org</a>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the [CFDA](#).

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: [http://www.archives.gov/federal\\_register/index.html](http://www.archives.gov/federal_register/index.html).

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:  
<http://www.ed.gov/fund/contract/apply/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**ED FORM 5348, 7/01**

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

**(If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. ) If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:**

***U.S. Department of Education***  
**Application Control Center**  
**(202) 708-9493**

**(If your application is late, we will notify you that we will not consider the application.)**

## **GRANT AND CONTRACT FUNDING INFORMATION**

**The Department of Education provides information about grant and contract opportunities electronically in several ways:**

ED Internet Home Page	<a href="http://www.ed.gov">http://www.ed.gov</a>
OCFO Web Page Internet	<a href="http://www.ed.gov/about/offices/list/ocfo/grants/grants.html">http://www.ed.gov/about/offices/list/ocfo/grants/grants.html</a>
OCFO Contracts Page	<a href="http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html">http://www.ed.gov/about/offices/list/ocfo/contracts/contracts.html</a>